

**Energy and Environment Cabinet  
Division for Air Quality**

**RECORD OF SHUTDOWN, ENSUING STARTUP or MALFUNCTION**

**This report relates to 401 KAR 50:055, Section 1    USE ADDITIONAL PAGES AS NECESSARY**

- ☐ SHUTDOWN:    ☐ Planned    Provide 3-day Notice in Writing to Regional Office  
                         ☐ Unplanned    Give immediate telephone notice to Regional Office
- ☐ STARTUP    provide 3-day Notice in Writing to Regional Office
- ☐ MALFUNCTION    Give immediate telephone notice to Regional Office

Source Name: \_\_\_\_\_ ID# \_\_\_\_\_

Source Mailing Address: \_\_\_\_\_

Telephone: \_\_\_\_\_ Responsible Person<sup>1</sup>: \_\_\_\_\_

Caller: \_\_\_\_\_ Title: \_\_\_\_\_

Date & Time of Occurrence or First Observation: \_\_\_\_\_

Expected Duration: \_\_\_\_\_

Equipment Involved: \_\_\_\_\_

Cause or Reason: \_\_\_\_\_

Corrective Action: \_\_\_\_\_

Basis for Determination that Shutdown is Necessary: \_\_\_\_\_

Estimate of Physical and Chemical Composition of the Emission: \_\_\_\_\_

Estimate of Rate of the Emission: \_\_\_\_\_

Estimate of Concentration of the Emission: \_\_\_\_\_

Measures Taken to Minimize the Extent and Duration of Emissions: \_\_\_\_\_

**Environmental and Public Protection Cabinet  
Division for Air Quality**

**RECORD OF SHUTDOWN, ENSUING STARTUP or MALFUNCTION**

I am seeking relief from compliance with the standards and certify that this incident meets all of the requirements below.

401 KAR 50:055, Section 1(4): A source shall be relieved from compliance with the standards set forth by the department if the director determines, upon a showing by the owner or operator of the source, that:

(a) The malfunction or shutdown and ensuing startup did not result from the failure by the owner or operator of the source to operate and maintain properly the equipment;

Documentation: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

(b) All reasonable steps were taken to correct, as expeditiously as practicable, the conditions causing the emissions to exceed the standards, including the use of off-shift labor and overtime if necessary;

Documentation: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

(c) All reasonable steps were taken to minimize the emissions and their effect on air quality resulting from the occurrence;

Documentation: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

(d) The excess emissions are not part of a recurring pattern indicative of inadequate design, operation, or maintenance;

Documentation: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

(e) The malfunction or shutdown and ensuing startup was not caused entirely or in part by poor maintenance, careless operation or any other preventable upset conditions or equipment breakdown.

Documentation: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Form Completed by: / Date / Time: \_\_\_\_\_

**USE ADDITIONAL PAGES AS NECESSARY**

**FOR DIVISION USE ONLY**

Recorded by: \_\_\_\_\_

Date: \_\_\_\_\_

Time: \_\_\_\_\_

Confirmation Requested? ☐ Yes ☐ No

Received on: \_\_\_\_\_

☐ Letter ☐ Telephone

Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

☐ Approved ☐ Disapproved \_\_\_\_\_

Division for Air Quality

Date: \_\_\_\_\_

**Ashland (606) 929-5285  
Hazard (606) 435-6022**

**Bowling Green (270) 746-7475  
London (606) 330-2080**

**Florence (859) 525-4923  
Owensboro (270) 687-7304**

**Frankfort (502) 564-3358  
Paducah (270) 898-8468**